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Documentation of Process and Procedures Project: Special Report

This is a special progress report on the Documentation of Processes and Procedures project. It covers the period from project inception on May 18 through July 31, 2010. This report includes three sections as follows:

- A summary of all work completed,
- Tasks scheduled to be completed next,
- Project study issues, assumptions, and our schedule for completion.

Summary of work completed to date

This project was been initiated to document all key processes and procedures at the Department of Community Services and Development through direct services provided by consultants, and through process teams trained as a part of this project.

The project began with interviews with Department leaders and managers on May 18 and 19, and with a review of audit reports and Departmental background materials. From this initial work a summary of key processes was developed and presented to the Director's staff meeting on June 14. This list of Department key processes has now been reviewed and approved by each Division Chief, and consists of 43 key processes and 9 related sub-processes. Consultants have also established a standard "Key Process Identification form" on which critical information on each of 12 identified processes has been gathered. This form includes key customers and stakeholders, process outputs, suggested metrics and other definitional information for each process. The project will ultimately develop this basic process information on all key processes and sub-processes.

This initial key process assessment provided an understanding of the nature, complexity, and importance of each key process, and was designed to evaluate any existing process flowcharts or procedures that standardize and control this work. Consultants then presented initial recommendations regarding a work plan for creation of process flowcharts and documentation of procedures. This work plan was presented at the Director's staff meeting on June 14, and was again updated in the project monthly progress report presented to the Department on July 16.

Through July 31 key process flowcharts and process identification forms have been developed on the following processes:

- High Risk/ Department Monitoring
- Energy Division Monitoring

- CS Division Monitoring
- CS Division Annual Desk Review
- CS Division Contract Approval
- Program contract request/ development/ approval
- Employee Movement

Significant improvements have been identified in each process as flowcharting has proceeded, both from clarifying and standardizing responsibilities, actions, and steps, but also in re-engineering process steps as a part of the review. For example, the Department has not had a systematic process for identifying “high risk” agencies, and that process has now been developed and is ready for deployment. A related reporting system to capture needed information for the process is pending review and approval by Department leadership.

A list of key terms associated with the “High Risk/ Department Monitoring” process has also been developed and reviewed by the Department Chief Legal Counsel. It is believed that these terms will guide a standardization of operational practice between divisions, and at the department level. They will be included in an lexicon of key terms associated with overall work process management for the Department.

Process flowcharting has identified a significant overlap of activities during annual desk review and later pre-onsite monitoring that spans both program divisions. Further analysis is now underway to better re-engineer these activities.

Consultants have researched and documented the Department’s existing practices regarding the development, recordation, control, and update of policy and procedure, and have identified the limits and short-comings in this area. A proposed policy for the creation and retention of CSD policy and procedure has been developed, as a foundation for a functioning system in the future.

Next proposed tasks

Consultants will continue to review and improve the key process flowcharts already underway, to ensure implementation as designed. Final process documentation will be filed and will include the supporting procedure and work aides associated with each standard process.

The “High Risk” process will be enhanced through analysis of past agency failure incidences, and the development of relationships between the high risk process criteria and failure incidences.

Process flowcharting that is planned to begin in August and succeeding months include the following:

- Expenditure reimbursement
- Call Center
- Whistleblowers

- Enforcement
- Allocation process
- Community Action Plan
- State Plan/ Community Plan

In the coming month consultants will focus on developing and standardizing procedures for the Fiscal Services Unit, including the following:

- Improved Procedures for managing cash advances and to define hardship;
- Separation of duties regarding preparation of claim schedules;
- Review and approval of claims for reimbursements.

Any procedure development deemed necessary as a part of flowcharting already underway may also be scheduled. A key process identification form for each identified process will be completed.

Upcoming consultant work also needs to create standardized templates and instructional materials for the Department to use in future development of policy, procedure, work instructions, and field guides. This contract will provide training to employees in the preparation of these materials.

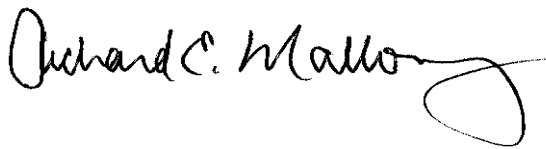
Project study issues, assumptions, and schedule

This contract was originally structured to take place over an 18-month period, but was compressed into a 7-month delivery period and is now anticipated to be completed by mid-December. In order to do so two additional consultants have been assigned so that rapid documentation and standardization of key processes can take place within that time.

Conclusion

CPS Human Resource Services will consider the work described and any task completion reported to be acceptable to the Department of Community Services and Development unless we receive written notification of any objection, deficiency, or omission within 30 days of receipt of this letter. We appreciate the opportunity to assist you in this important effort.

Sincerely,



Richard E. Mallory, Project Manager

cc. Roger Ganse, CPS Human Resource Services